

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Stuart A. Fraser et al.

Application No.: 09/553,423 Confirmation No.: 3987

Filed : April 19, 2000

For : SYSTEMS AND METHODS FOR TRADING

Group Art Unit : 2768 **2165**

Examiner : Not Yet Assigned

ES
Received

NOV 09 2001

Technology Center 2100

New York, New York
November 8, 2001

Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER FOR
INFORMATION DISCLOSURE STATEMENT

Sir:

Transmitted herewith is an Information Disclosure Statement in the above-identified application. This Statement is submitted:

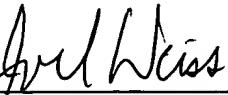
[] within three months of the application filing date;

[X] more than three months from the application filing date but before the mailing date of the first Office Action on the merits.

In accordance with 37 C.F.R. § 1.97, submission of this Statement requires no fee. However, if for any reason a fee is due, the Director is hereby authorized to charge payment of any fees required in connection with this Information Disclosure Statement to Deposit Account

No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,



Joel Weiss
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New York, New York 10020
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Washington, D.C. 20231INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the following documents of record in the above-identified application:

US Patents

Nymeyer	Patent No. 3,581,072	5/25/71
Sibley, Jr.	Patent No. 4,677,552	6/30/87
Kramer	Patent No. 5,038,284	8/6/91
Silverman et al.	Patent No. 5,077,665	12/31/91
Wiseman	Patent No. 5,168,446	12/1/92
Trojan et al.	Patent No. 5,297,032	3/22/94
Fisher et al.	Patent No. 5,835,896	11/10/98
Ausubel	Patent No. 5,905,975	5/18/99
Conklin et al.	Patent No. 6,141,653	10/31/00

Foreign Patent Applications

Country	Application No.	
PCT	WO 00/36745	11/2/99
EPO	EP 1006472	12/1/99

Copies of the aforementioned documents are enclosed herewith. Each of the aforementioned documents that are patents are listed in the accompanying Form PTO-1449.

It is respectfully requested that these documents be: (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent which may issue on this application.

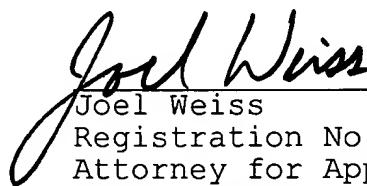
Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Applicants believe that no fee is due at this time because this statement was filed before the mailing date of a first Office Action on the merits. See 37 C.F.R.

§ 1.97(b)(3). However, the Commissioner is hereby authorized to charge any fee, or credit any overpayment, that may be due in connection with this Information Disclosure Statement, to Deposit Account No. 06-1075. A duplicate copy of this Information Disclosure Statement is enclosed herewith.

An early and favorable action is respectfully requested.

Respectfully submitted,



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